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INFORMATION DISCLOSURE STATEMENT BY APPLICANT

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Sheet 1 of 5

Complete if Known	
Application Number	09/941,349
Filing Date	August 28, 2001
First Named Inventor	Mendoza, Edgar A.
Art Unit	2874
Examiner Name	Sanghavi, Hemang
Attorney Docket Number	265/225

U.S. PATENT DOCUMENTS

Examiner initials*	Cite No.[1]	Document Number Number-Kind Code[2] (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant figures Appear
SP	AA	US-4,725,110	02/16/1988	Glenn et al.	
	AB	US-5,080,503	01/14/1992	Najafi et al.	
	AC	US-5,080,962	01/14/1992	Hench	
	AD	US-5,151,958	09/29/1992	Honkanen	
	AE	US-5,265,185	11/23/1993	Ashley	
	AF	US-5,360,834	11/01/1984	Popall et al.	
	AG	US-5,574,807	11/12/1996	Snitzer	
	AH	US-5,620,495	04/15/1997	Aspell et al.	
	AI	US-5,585,640	12/17/1996	Huston et al.	
	AJ	US-5,972,516	10/26/1999	Kanacko et al.	
	AK	US-6,054,253	04/25/2000	Fardad et al.	
	AL	US-6,103,363	08/152000	Boire et al.	
	AM	US-6,115,518	09/05/2000	Calpp	
	AN	US-6,158,245	12//12/2000	Savant	
	AO	US-6,268,089	07/31/ 2001	Chandross et al.	
	AP	US-2001/0031122	10/18/2001	Lackritz et al.	
	AQ	US-2001/0041025	11/15/2001	Farahi, Faramarz	
	AR	US-2001/0047665 A1	12/06/2001	Zhang et al.	
	AS	US-6,368,775 B1	04/09/2002	Potter et al.	
SP	AT	US-2003/0210881-A1	11/13/2003	Mendoza, et al.	

FOREIGN PATENT DOCUMENTS

Examiner initials*	Cite No.[1]	Foreign Patent Document Country Code[3]-Number[4]-Kind Code[5] (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages Or Relevant figures Appear	T[6]
SP	AU	03-013907 A	01/22/1991	Sanako		
SP	AV	WO 99/06873 – PCT/US	02/11/1999	Lieberman et al.		
SP	AW	2,218,273 – CA	04/10/1999	Farfad et al.		

Examiner Signature		Date Considered	1/13/05

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NON PATENT LITERATURE DOCUMENTS

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SP	AX	Mendoza E.A., Ferrell D.J., Syracuse S.J., Khalil A.N., Lieberman R.A., "Photolithography of Integrated Optice Devices in Sol-Gel Glasses," Proc. SPIE-Int. Soc. Opt. Eng., Vol. 2288, pp. 580-588 (1994)	
	AY	Najafi, S.I., Touam T., Sara R., Andrews M.P., Fardad M.A., "Sol-Gel Glass Waveguide and Grating on Silicon," Journal of Lightwave Technology, Vol. 16, No. 9 (1998)	
	AZ	McEntee J. "Sol-Gel Devices 'will meet cost targets of fibre to the home'," Opto & Laser Europe, Issue 31, p. 5 (1996)	
	BA	Coudray, P., Chisham, J., Malek-Tabrizi, A., Li, C.-Y., Andrews, M.P., Peyghambarian, N., Najafi, S.I., "Ultraviolet Light Imprinted Sol-Gel Silica Glass Waveguide Devices on Silicon," Optics Comm., 128(1-3) 19-22 (1996).	
	BB	Coudray, P., Chisham, J., Andrews, M.P., Najafi, S.I., "Ultraviolet Light Imprinted Sol-Gel Silica Glass Low-Loss Waveguides For Use At 1.55 μm," Opt. Eng. 36(4) 1234-1240 (1997)	
	BC	Fardad, A., Andrews, M., Milova, G., Malek-Tabrizi A., Najafi, I., "Fabrication of Ridge Waveguides:: A New Solgel Route," Applied Optics, Vol. 37, No. 12., pp. 2429-2434 (1998)	
	BD	Najafi, S.I., Armenise, M.N., "Organoaluminophosphate sol-gel silica glass thin films for integrated optics," Proc. SPIE-Int. Soc. Opt. Eng., Vol. 2997 pp. 79-84 (1997)	
	BE	Cindrich I., Lee, S.H., Sutherland, R. L., "Adapting Existing E-Beam Writers to Write HEBS-Glass Gray Scale Masks," Proc. SPIE-Int. Soc. Opt. Eng., Vol. 3633 pp. 35-45 (1999),	
	BF	Kley, E-B., "Continuous Profile Writing by Electron and Optical Lithography," Microelectronic Engineering, 34 pp. 261-298 (1997)	
	BG	Syms, R.R.A., "Silica-On Silicon Integated Optics," Advances in Integrated Optics, pp. 121-150 (1994)	
SP	BH	Najafi, S.I., Andrews, M.P., Fardad, M.A., Milova, G., Tahar, T., Coudray, P., "UV-Light Imprinted Surface, Ridge and Buried Sol-Gel Glass Waveguides and Devices on Silicon," Proc. SPIE-Int. Soc. Opt. Eng., Vol. 2954 pp. 100-104 (1996)	

Examiner Signature	Sanghavi	Date Considered	1/13/05

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Filing Date	August 28, 2001
First Named Inventor	MENDOZA, Edgar A.
Art Unit	2874
Examiner Name	Sanghavi, Hemang
Attorney Docket Number	265/225

NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No.[1]	Include name of author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T[2]
SP	BI	Holmes, A.S., Syms, R.R.A., "Fabrication of Low-Loss Channel Waveguides in Sol-Gel Glass on Silicon Substrates," Advanced Materials in Optics, Electro-Optics and Communication Technologies (1995)	
	BJ	Holmes, A.S., Syms, R.R.A., Li, M., Green M., "Fabrication of Buried Channel Waveguides on Silicon Substrates Using Spin-On Glass," Applied Optics, Vol. 32, No. 25 pp. 4916-4921 (1993)	
	BK	Kawachi, M., "Silica Waveguides on Silicon and Their Application to Integrated-Optic Components," Optical and Quantum Electronics, Vol. 22, No. 5, pp. 391-416 (1990)	
	BL	Ballato, J., Dejneka, M., Riman,R.E., Snitzer, E., Zhou, W., "Sol-Gel Synthesis of Rare-Earth-Doped Fluoride Glass Thin Films," Journal of Materials Research, Vol. 11, No. 4., pp. 841-849 (1996)	
	BM	Yang, L., Saavedra, S.S., Armstrong, N.R., Hayes, J., "Fabrication and Characterization of Low-Loss, Sol-Gel Planar Waveguides," Anal. Chem. Vol. 66, No. 8, pp. 1254-1263 (1994)	
	BN	Schmidt, H., "Thin Films, the Chemical Processing up to Gelation," Structure and Bonding, Vol. 77, pp. 119-151 (1992)	
	BO	Chisham, J.E., Andrews, M.P., Li, C.-Y., Najafi, S.I., Makek-Tabrizi, A., "Gratings Fabrication by Ultraviolet Light Imprinting and Embossing in a Sol-Gel Silica Glass," Proc. SPIE-Int. Soc. Opt. Eng., Vol. 2695, pp. 52-56 (1996)	
	BP	Svalgaard, M., Poulsen, C.V., Bjarklev A., Poulsen, O., "Direct UV Writing of Buried Singlemode Channel Waveguides in Ge-Doped Silica Films," Electronic Letters, Vol. 30, No. 17, pp. 1401-1403 (1994)	
	BQ	Andrews, M.P., Kanigan T., Najafi, S.I., "Auto-Embossed Bragg Gratings From Self-Organizing Polymers: Chemical Tuning of Periodicity and Photoinduced Anisotropy," Proc. SPIE-Int. Soc. Opt. Eng., Vol. 2695, pp. 4-15 (1996)	
	BR	Najafi, S. I., Li, C.-Y., Chisham, J., Andrews, M.P., Coudray, P., Malek-Tabrizi, A., Peyghambarian, N., "Ultraviolet Light Imprinted Sol-Gel Silica Glass Channel Waveguides on Silicon," Proc. SPIE-Int. Soc. Opt. Eng., Vol. 2695, pp. 38-41 (1996)	
SP	BS	Brinker, C.J., Scherer, G.W., "The Physics and Chemistry of Sol-Gel Processing," Sol-Gel Science, Academic Press, Inc. pp. 864-1879.	

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SP	BT	Li, C.-Y., Chisham, J., Andrews, M., Najafi, S.I., Mackenzie, J.D., Peyghambarian, N., "Sol-Gel Integrated Optical Coupler by Ultraviolet Light Imprinting," Electronic Letters, Vol. 31, No. 4, pp. 271-272 (1995)	
	BU	Andrews, M.P., "An Overview of Sol Gel Guest-Host Materials Chemistry for Optical Devices," Proc. SPIE-Int. Soc. Opt. Eng., Vol. 2997, pp. 48-59 (1997)	
	BV	Rösch, O.S., Bernhard, W., Müller-Fiedler, R., Dannberg, P., Bräuer, A., R. Buestrich, R., Popall, M., "High Performance Low Cost Fabrication Method for Integrated Polymer Optical Devices," Proc. SPIE-Int. Soc. Opt. Eng., Vol. 3799, pp. 214-224	
	BW	Roscher, C., Buestrich R., Dannberg, P., Rösch, O., Popall, M., "New Inorganic-Organic Hybrid Polymers for Integrated Optics," Mat. Res. Soc. Symp. Proc. Vol. 519, pp. 239-244 (1998)	
	BX	Mendoza, E.A., "Photolithography of Integrated Optic Devices in Porous Glasses," UMI Dissertation Services (1992)	
	BY	Mendoza, A., Wolkow, E., Sunil, D., Wong, P., Sokolow, J., Rafailovich, M., den Boer, M., Gafney, H., "A Comparison of Iron Oxides Photodeposited in Porous Vycor Glass and Tetramethoxysilane/Methanol/Water Xerogels," Langmuir, Vol. 7, No. 12, pp. 993-4009 (1991)	
	BZ	Che, T., Soskey, P., Banash, M., Caldwell, M., McCallum, I., Mininni, R., Warden, V., "Optimization of a Gel Derived Gradient Index Material," Proc. SPIE-Int. Soc. Opt. Eng., Vol. 1758, pp. 193-204 (1992)	
	CA	Gafney, H., "A Photochemical Approach to Integrated Optics," J. Macromol. Sci.-Chem. Vol. A27(9-11), pp. 1187-1202 (1990)	
	CB	Simmons, K., Stegeman, G., Potter, B., Simmons, J., "Photosensitivity of Solgel-Derived Germanoscilicate Planar Waveguides," Optics Letters, Vol. 18, No. 1, pp. 25-27 (1993)	
SP	CC	Mendoza, E., Gafney, H., "Photolithography of Integrated Optic Devices in Porous Glasses," Nonlinear Optical Materials, CRC Press, eds. Kuhn, H., Robillard, J., Part V, pp. 178-191 (1992)	

Examiner Signature	Sang Pok	Date Considered	1/13/05

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✓	CB	Simmons, K., Stegeman, G., Potter, B., Simmons, J., "Photosensitivity of Solgel-Derived Germanoscilicate Planar Waveguides," Optics Letters, Vol. 18, No. 1, pp. 25-27 (1993)	
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SP	CD	Mendoza, E., Gafney, H., "Photolithographic Imaging of Planar Optical Waveguides and Integrated Optic Devices Onto Porous Silicate Glasses and Silica Sol-Gels," Mat. Res. Soc. Symp. Proc., Vol. 244, pp. 343-350 (1992)	
	CE	Mendoza, E., Gafney, H., Morse, David, "Photolithographic Processing Of Integrated Optic Devices In Glasses," SPIE Vol. 1583 Integrated Optical Circuits, pp. 43-51 (1991)	
	CF	Mendoza, E., Gafney, H., Morse, D., "The Photochemical Generation of Gradient Indices in Glass," SPIE Vol. 1378 Optically Activated Switching, pp. 139-144 (1990)	
	CG	Wolkow, E., Gafney, H., Wong, P., Hanson, A., "Highly Resolved Gradient Patterns in Glass by Means of Chemical Vapor Deposition," Mat. Res. Soc. Symp. Proc. Vol. 168, pp. 381-393 (1990)	
	CH	Mendoza, E., Ferrell, D., Lieberman, R., "Photolithography of Bragg Gratings in Sol-Gel Derived Fibers," SPIE Vol. 2288 Sol-Gel Optics III, pp. 621-629 (1994)	
	CI	U.S. Patent Application Serial No. 09/574,841, filed May 19, 2000, "Thin Film Sol-Gel Derived Glass"; Inventor: Mendoza, Edgar A.	
SP	CJ	Amendment to U.S. Patent Application Serial No. 09/574,840, filed May 19, 2000, "Thermally-Assisted Photolithographic Process Using Sol-Gel Derived Glass and Products Made Thereby"; Inventors: Mendoza, Edgar A., Kempen, Lothar U., Lieberman, Robert A.	

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